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| APPLICATION NO.   | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.           | CONFIRMATION NO.       |
|---|-------------|----------------------|-------------------------------|------------------------|
| 10/516,621  | 12/03/2004  | Tatsuo Tsuneka       | SAE-036                       | 5295                   |
| 20374 7590 02/22/2007<br>KUBOVCIK & KUBOVCIK<br>SUITE 710<br>900 17TH STREET NW<br>WASHINGTON, DC 20006 |             |                      | EXAMINER<br>CHEUNG, WILLIAM K |                        |
|   |             |                      | ART UNIT<br>1713              | PAPER NUMBER           |
|   |             |                      | MAIL DATE<br>02/22/2007       | DELIVERY MODE<br>PAPER |

Please find below and/or attached an Office communication concerning this application or proceeding.

**Advisory Action  
Before the Filing of an Appeal Brief**

Application No.

10/516,621

Applicant(s)

TSUNEKA ET AL.

Examiner

William K. Cheung

Art Unit

1713

**--The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

THE REPLY FILED 08 February 2007 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE.

1. ☒ The reply was filed after a final rejection, but prior to or on the same day as filing a Notice of Appeal. To avoid abandonment of this application, applicant must timely file one of the following replies: (1) an amendment, affidavit, or other evidence, which places the application in condition for allowance; (2) a Notice of Appeal (with appeal fee) in compliance with 37 CFR 41.31; or (3) a Request for Continued Examination (RCE) in compliance with 37 CFR 1.114. The reply must be filed within one of the following time periods:

- a) ☒ The period for reply expires 3 months from the mailing date of the final rejection.  
b) ☐ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.

Examiner Note: If box 1 is checked, check either box (a) or (b). ONLY CHECK BOX (b) WHEN THE FIRST REPLY WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**NOTICE OF APPEAL**

2. ☐ The Notice of Appeal was filed on \_\_\_\_\_. A brief in compliance with 37 CFR 41.37 must be filed within two months of the date of filing the Notice of Appeal (37 CFR 41.37(a)), or any extension thereof (37 CFR 41.37(e)), to avoid dismissal of the appeal. Since a Notice of Appeal has been filed, any reply must be filed within the time period set forth in 37 CFR 41.37(a).

**AMENDMENTS**

3. ☐ The proposed amendment(s) filed after a final rejection, but prior to the date of filing a brief, will not be entered because  
(a) ☐ They raise new issues that would require further consideration and/or search (see NOTE below);  
(b) ☐ They raise the issue of new matter (see NOTE below);  
(c) ☐ They are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or  
(d) ☐ They present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: \_\_\_\_\_. (See 37 CFR 1.116 and 41.33(a)).

4. ☐ The amendments are not in compliance with 37 CFR 1.121. See attached Notice of Non-Compliant Amendment (PTOL-324).  
5. ☐ Applicant's reply has overcome the following rejection(s): \_\_\_\_\_.  
6. ☐ Newly proposed or amended claim(s) \_\_\_\_\_ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).  
7. ☒ For purposes of appeal, the proposed amendment(s): a) ☒ will not be entered, or b) ☐ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.  
The status of the claim(s) is (or will be) as follows:  
Claim(s) allowed: none.  
Claim(s) objected to: none.  
Claim(s) rejected: 6-11.  
Claim(s) withdrawn from consideration: none.


**AFFIDAVIT OR OTHER EVIDENCE**

8. ☐ The affidavit or other evidence filed after a final action, but before or on the date of filing a Notice of Appeal will not be entered because applicant failed to provide a showing of good and sufficient reasons why the affidavit or other evidence is necessary and was not earlier presented. See 37 CFR 1.116(e).  
9. ☐ The affidavit or other evidence filed after the date of filing a Notice of Appeal, but prior to the date of filing a brief, will not be entered because the affidavit or other evidence failed to overcome all rejections under appeal and/or appellant fails to provide a showing of good and sufficient reasons why it is necessary and was not earlier presented. See 37 CFR 41.33(d)(1).  
10. ☐ The affidavit or other evidence is entered. An explanation of the status of the claims after entry is below or attached.

**REQUEST FOR RECONSIDERATION/OTHER**

11. ☒ The request for reconsideration has been considered but does NOT place the application in condition for allowance because:  
See Continuation Sheet.  
12. ☐ Note the attached Information Disclosure Statement(s). (PTO/SB/08) Paper No(s). \_\_\_\_\_.  
13. ☐ Other: \_\_\_\_\_.

WILLIAM K. CHEUNG  
PRIMARY EXAMINER



2/19/07

Continuation of 11. does NOT place the application in condition for allowance because: Applicants argue that the 103 rejection set forth is not proper because Verardi et al. fail to teach the functional equivalence of aromatic solvents and ethereal solvents in a process for preparing an aqueous-based composition. However, the examiner disagrees. Because Verardi et al. (col. 6, line 42-44, 50-55) clearly teach the functional equivalence of aromatic solvents and ethereal solvents, which means what ever functions of aromatic solvents are also possessed by the ethereal solvents taught in Verardi et al. Therefore, the examiner has a reasonable basis to maintain the 103 rejection set forth. Regarding applicants' argument that Ashihara et al. and Verardi et al. are not the closest prior art, therefore, applicants are not obligated to provide comparative data based on the experimental procedures of the Ashihara et al. or Verardi et al. to show the criticality of the claimed invention. Applicants fail to recognize that the prior art that are used for the instant valid rejection, are considered the closest prior art. Applicants are requested to provide comparative data based on the experimental procedure of the closest prior art set forth because applicants are required to submit experimental data that the experimental procedures of Ashihara et al. or Verardi et al. do not possess the argued "unexpected results" in obtaining a dispersion. Regarding applicants' argument on the criticality of obtaining a dispersion, applicants must also recognize that Ashihara et al. (col. 13, line 66 to col. 14, line 2) clearly disclose that a dispersion has been prepared.



WILLIAM K. CHEUNG  
PRIMARY EXAMINER

2/19/07